

This Page Is Inserted by IFW Operations
and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

**As rescanning documents *will not* correct images,
please do not report the images to the
Image Problems Mailbox.**

PENT COOPERATION TREATY

From the INTERNATIONAL BUREAU

PCT

NOTIFICATION OF ELECTION
(PCT Rule 61.2)

To:

Assistant Commissioner for Patents
United States Patent and Trademark
Office
Box PCT
Washington, D.C.20231
ÉTATS-UNIS D'AMÉRIQUE

Date of mailing:

10 February 2000 (10.02.00)

in its capacity as elected Office

International application No.:

PCT/JP99/04143

Applicant's or agent's file reference:

PCT-RO99-11

International filing date:

30 July 1999 (30.07.99)

Priority date:

31 July 1998 (31.07.98)

Applicant:

FUJIMOTO, Hisayoshi et al

1. The designated Office is hereby notified of its election made:

 in the demand filed with the International preliminary Examining Authority on:

02 December 1999 (02.12.99)

 in a notice effecting later election filed with the International Bureau on:

2. The election was was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer:

J. Zahra

Telephone No.: (41-22) 338.83.38

1000
09/744745
1500

PATENT COOPERATION TREATY

RECEIVED
APR 11 2001

PCT
NOTIFICATION OF ELECTION
(PCT Rule 61.2)

Date of mailing (day/month/year)
26 February 2001 (26.02.01)

To:
Commissioner
US Department of Commerce
United States Patent and Trademark
Office, PCT
2011 South Clark Place Room
CP2/5C24
Arlington, VA 22202
ETATS-UNIS D'AMERIQUE
in its capacity as elected Office

International application No.
PCT/JP00/04143

Applicant's or agent's file reference
CN00048

International filing date (day/month/year)
23 June 2000 (23.06.00)

Priority date (day/month/year)
06 July 1999 (06.07.99)

Applicant

TAZAKI, Toshinori

1. The designated Office is hereby notified of its election made:

in the demand filed with the International Preliminary Examining Authority on:

26 January 2001 (26.01.01)

in a notice effecting later election filed with the International Bureau on:

2. The election was

was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer

Henrik Nyberg

Telephone No.: (41-22) 338.83.38

PATENT COOPERATION TREATY

PCT

NOTIFICATION CONCERNING
SUBMISSION OR TRANSMITTAL
OF PRIORITY DOCUMENT

(PCT Administrative Instructions, Section 411)

From the INTERNATIONAL BUREAU

To:

YOSHIDA, Minoru
2-32-1301, Tamatsukuri-motomachi
Tennoji-ku
Osaka-shi, Osaka 543-0014
JAPON

Date of mailing (day/month/year) 06 October 1999 (06.10.99)			
Applicant's or agent's file reference PCT-RO99-11	IMPORTANT NOTIFICATION		
International application No. PCT/JP99/04143	International filing date (day/month/year) 30 July 1999 (30.07.99)		
International publication date (day/month/year) Not yet published	Priority date (day/month/year) 31 July 1998 (31.07.98)		
Applicant ROHM CO., LTD. et al			
<p>1. The applicant is hereby notified of the date of receipt (except where the letters "NR" appear in the right-hand column) by the International Bureau of the priority document(s) relating to the earlier application(s) indicated below. Unless otherwise indicated by an asterisk appearing next to a date of receipt, or by the letters "NR", in the right-hand column, the priority document concerned was submitted or transmitted to the International Bureau in compliance with Rule 17.1(a) or (b).</p> <p>2. This updates and replaces any previously issued notification concerning submission or transmittal of priority documents.</p> <p>3. An asterisk(*) appearing next to a date of receipt, in the right-hand column, denotes a priority document submitted or transmitted to the International Bureau but not in compliance with Rule 17.1(a) or (b). In such a case, the attention of the applicant is directed to Rule 17.1(c) which provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.</p> <p>4. The letters "NR" appearing in the right-hand column denote a priority document which was not received by the International Bureau or which the applicant did not request the receiving Office to prepare and transmit to the International Bureau, as provided by Rule 17.1(a) or (b), respectively. In such a case, the attention of the applicant is directed to Rule 17.1(c) which provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.</p>			
<u>Priority date</u> 31 July 1998 (31.07.98)	<u>Priority application No.</u> 10/218092	<u>Country or regional Office or PCT receiving Office</u> JP	<u>Date of receipt of priority document</u> 17 Sept 1999 (17.09.99)

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No. (41-22) 740.14.35

Authorized officer

Juan Cruz

Telephone No. (41-22) 338.83.38



PATENT COOPERATION TREATY

PCT

NOTICE INFORMING THE APPLICANT OF THE
COMMUNICATION OF THE INTERNATIONAL
APPLICATION TO THE DESIGNATED OFFICES

(PCT Rule 47.1(c), first sentence)

From the INTERNATIONAL BUREAU

To:

YOSHIDA, Minoru
2-32-1301, Tamatsukuri-motomachi
Tennoji-ku
Osaka-shi, Osaka 543-0014
JAPON

Date of mailing (day/month/year) 10 February 2000 (10.02.00)		
Applicant's or agent's file reference PCT-RO99-11		
International application No. PCT/JP99/04143	International filing date (day/month/year) 30 July 1999 (30.07.99)	Priority date (day/month/year) 31 July 1998 (31.07.98)
Applicant ROHM CO., LTD. et al		

IMPORTANT NOTICE

1. Notice is hereby given that the International Bureau has communicated, as provided in Article 20, the international application to the following designated Offices on the date indicated above as the date of mailing of this Notice:
CN,EP,JP,KR,US

In accordance with Rule 47.1(c), third sentence, those Offices will accept the present Notice as conclusive evidence that the communication of the international application has duly taken place on the date of mailing indicated above and no copy of the international application is required to be furnished by the applicant to the designated Office(s).

2. The following designated Offices have waived the requirement for such a communication at this time:

CA

The communication will be made to those Offices only upon their request. Furthermore, those Offices do not require the applicant to furnish a copy of the international application (Rule 49.1(a-bis)).

3. Enclosed with this Notice is a copy of the international application as published by the International Bureau on 10 February 2000 (10.02.00) under No. WO 00/07358

REMINDER REGARDING CHAPTER II (Article 31(2)(a) and Rule 54.2)

If the applicant wishes to postpone entry into the national phase until 30 months (or later in some Offices) from the priority date, a demand for international preliminary examination must be filed with the competent International Preliminary Examining Authority before the expiration of 19 months from the priority date.

It is the applicant's sole responsibility to monitor the 19-month time limit.

Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination.

REMINDER REGARDING ENTRY INTO THE NATIONAL PHASE (Article 22 or 39(1))

If the applicant wishes to proceed with the international application in the national phase, he must, within 20 months or 30 months, or later in some Offices, perform the acts referred to therein before each designated or elected Office.

For further important information on the time limits and acts to be performed for entering the national phase, see the Annex to Form PCT/IB/301 (Notification of Receipt of Record Copy) and Volume II of the PCT Applicant's Guide.

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Facsimile No. (41-22) 740.14.35	Authorized officer J. Zahra Telephone No. (41-22) 338.83.38
--	---

PATENT COOPERATION TREATY

PCT

INFORMATION CONCERNING ELECTED
OFFICES NOTIFIED OF THEIR ELECTION

(PCT Rule 61.3)

From the INTERNATIONAL BUREAU

To:

YOSHIDA, Minoru
2-32-1301, Tamatsukuri-motomachi
Tennoji-ku
Osaka-shi, Osaka 543-0014
JAPON

Date of mailing (day/month/year)
10 February 2000 (10.02.00)

Applicant's or agent's file reference
PCT-RO99-11

IMPORTANT INFORMATION

International application No.	International filing date (day/month/year)	Priority date (day/month/year)
PCT/JP99/04143	30 July 1999 (30.07.99)	31 July 1998 (31.07.98)
Applicant ROHM CO., LTD. et al		

1. The applicant is hereby informed that the International Bureau has, according to Article 31(7), notified each of the following Offices of its election:

EP :AT,BE,CH,CY,DE,DK,ES,FI,FR,GB,GR,IE,IT,LU,MC,NL,PT,SE
National :CA,CN,JP,KR,US

2. The following Offices have waived the requirement for the notification of their election; the notification will be sent to them by the International Bureau only upon their request:

None

3. The applicant is reminded that he must enter the "national phase" **before the expiration of 30 months from the priority date** before each of the Offices listed above. This must be done by paying the national fee(s) and furnishing, if prescribed, a translation of the international application (Article 39(1)(a)), as well as, where applicable, by furnishing a translation of any annexes of the international preliminary examination report (Article 36(3)(b) and Rule 74.1).

Some offices have fixed time limits expiring later than the above-mentioned time limit. For detailed information about the applicable time limits and the acts to be performed upon entry into the national phase before a particular Office, see Volume II of the PCT Applicant's Guide.

The entry into the European regional phase is postponed until **31 months from the priority date** for all States designated for the purposes of obtaining a European patent.

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No. (41-22) 740.14.35

Authorized officer:

J. Zahra

Telephone No. (41-22) 338.83.38

PATENT COOPERATION TREATY

PCT

**NOTIFICATION OF TRANSMITTAL
OF COPIES OF TRANSLATION
OF THE INTERNATIONAL PRELIMINARY
EXAMINATION REPORT**

(PCT Rule 72.2)

From the INTERNATIONAL BUREAU

To:

YOSHIDA, Minoru
2-32-1301, Tamatsukuri-motomachi
Tennoji-ku
Osaka-shi, Osaka 543-0014
JAPON

Date of mailing (day/month/year) 08 September 2000 (08.09.00)	
Applicant's or agent's file reference PCT-RO99-11	IMPORTANT NOTIFICATION
International application No. PCT/JP99/04143	International filing date (day/month/year) 30 July 1999 (30.07.99)
Applicant ROHM CO., LTD. et al	

1. Transmittal of the translation to the applicant.

The International Bureau transmits herewith a copy of the English translation made by the International Bureau of the international preliminary examination report established by the International Preliminary Examining Authority.

2. Transmittal of the copy of the translation to the elected Offices.

The International Bureau notifies the applicant that copies of that translation have been transmitted to the following elected Offices requiring such translation:

EP,CA,CN,US

The following elected Offices, having waived the requirement for such a transmittal at this time, will receive copies of that translation from the International Bureau only upon their request:

JP,KR

3. Reminder regarding translation into (one of) the official language(s) of the elected Office(s).

The applicant is reminded that, where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report.

It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned (Rule 74.1). See Volume II of the PCT Applicant's Guide for further details.

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Facsimile No. (41-22) 740.14.35	Authorized officer Elliott Peretti Telephone No. (41-22) 338.83.38
--	--

特許協力条約

PCT

国際予備審査報告

REC'D 26 MAY 2000

WIPO PCT

(法第12条、法施行規則第56条)
〔PCT36条及びPCT規則70〕

出願人又は代理人 の書類記号 PCT-R099-11	今後の手続きについては、国際予備審査報告の送付通知（様式PCT/IPEA/416）を参照すること。	
国際出願番号 PCT/JP99/04143	国際出願日 (日.月.年) 30.07.99	優先日 (日.月.年) 31.07.98
国際特許分類 (IPC)	Int. Cl' H04N 1/024	
出願人（氏名又は名称） ローム株式会社		

1. 国際予備審査機関が作成したこの国際予備審査報告を法施行規則第57条（PCT36条）の規定に従い送付する。

2. この国際予備審査報告は、この表紙を含めて全部で 3 ページからなる。

この国際予備審査報告には、附属書類、つまり補正されて、この報告の基礎とされた及び／又はこの国際予備審査機関に対して訂正を含む明細書、請求の範囲及び／又は図面も添付されている。
(PCT規則70.16及びPCT実施細則第607号参照)
この附属書類は、全部で ページである。

3. この国際予備審査報告は、次の内容を含む。

- I 国際予備審査報告の基礎
- II 優先権
- III 新規性、進歩性又は産業上の利用可能性についての国際予備審査報告の不作成
- IV 発明の単一性の欠如
- V PCT35条(2)に規定する新規性、進歩性又は産業上の利用可能性についての見解、それを裏付けるための文献及び説明
- VI ある種の引用文献
- VII 国際出願の不備
- VIII 国際出願に対する意見

国際予備審査の請求書を受理した日 02.12.99	国際予備審査報告を作成した日 08.05.00
名称及びあて先 日本国特許庁 (IPEA/JP) 郵便番号100-8915 東京都千代田区霞が関三丁目4番3号	特許庁審査官（権限のある職員） 大野雅宏 電話番号 03-3581-1101 内線 3571
	5V 8113

I. 国際予備審査報告の基礎

1. この国際予備審査報告は下記の出願書類に基づいて作成された。（法第6条（PCT14条）の規定に基づく命令に応答するために提出された差し替え用紙は、この報告書において「出願時」とし、本報告書には添付しない。PCT規則70.16, 70.17）

 出願時の国際出願書類

<input type="checkbox"/> 明細書	第 _____	ページ、	出願時に提出されたもの
明細書	第 _____	ページ、	国際予備審査の請求書と共に提出されたもの
明細書	第 _____	ページ、	付の書簡と共に提出されたもの
<input type="checkbox"/> 請求の範囲	第 _____	項、	出願時に提出されたもの
請求の範囲	第 _____	項、	PCT19条の規定に基づき補正されたもの
請求の範囲	第 _____	項、	国際予備審査の請求書と共に提出されたもの
請求の範囲	第 _____	項、	付の書簡と共に提出されたもの
<input type="checkbox"/> 図面	第 _____	ページ/図、	出願時に提出されたもの
図面	第 _____	ページ/図、	国際予備審査の請求書と共に提出されたもの
図面	第 _____	ページ/図、	付の書簡と共に提出されたもの
<input type="checkbox"/> 明細書の配列表の部分	第 _____	ページ、	出願時に提出されたもの
明細書の配列表の部分	第 _____	ページ、	国際予備審査の請求書と共に提出されたもの
明細書の配列表の部分	第 _____	ページ、	付の書簡と共に提出されたもの

2. 上記の出願書類の言語は、下記に示す場合を除くほか、この国際出願の言語である。

上記の書類は、下記の言語である _____ 語である。

- 国際調査のために提出されたPCT規則23.1(b)にいう翻訳文の言語
- PCT規則48.3(b)にいう国際公開の言語
- 国際予備審査のために提出されたPCT規則55.2または55.3にいう翻訳文の言語

3. この国際出願は、ヌクレオチド又はアミノ酸配列を含んでおり、次の配列表に基づき国際予備審査報告を行った。

- この国際出願に含まれる書面による配列表
- この国際出願と共に提出されたフレキシブルディスクによる配列表
- 出願後に、この国際予備審査（または調査）機関に提出された書面による配列表
- 出願後に、この国際予備審査（または調査）機関に提出されたフレキシブルディスクによる配列表
- 出願後に提出した書面による配列表が出願時における国際出願の開示の範囲を超える事項を含まない旨の陳述書の提出があった
- 書面による配列表に記載した配列とフレキシブルディスクによる配列表に記録した配列が同一である旨の陳述書の提出があった。

4. 補正により、下記の書類が削除された。

- 明細書 第 _____ ページ
- 請求の範囲 第 _____ 項
- 図面 図面の第 _____ ページ/図

5. この国際予備審査報告は、補充欄に示したように、補正が出願時における開示の範囲を越えてされたものと認められるので、その補正がされなかったものとして作成した。（PCT規則70.2(c) この補正を含む差し替え用紙は上記1.における判断の際に考慮しなければならず、本報告に添付する。）

V. 新規性、進歩性又は産業上の利用可能性についての法第12条（PCT35条(2)）に定める見解、それを裏付ける文献及び説明

1. 見解

新規性 (N)

請求の範囲 1-14

有

請求の範囲

無

進歩性 (I S)

請求の範囲 1-14

有

請求の範囲

無

産業上の利用可能性 (I A)

請求の範囲 1-14

有

請求の範囲

無

2. 文献及び説明 (PCT規則70.7)

請求の範囲 1-14について

文献1: JP, 6-86004, A (プラザー工業株式会社)

1. 3月. 1994 (25. 03. 94), 図1-図5参照, (ファミリーなし)

の図1、図4、図5に開示されている読み書き一体ヘッドはいずれも請求の範囲1に記載されているような「受光素子を囲むようにして基板に組み付けられたケース」を備えていないし、そのようなケースを設けるよう設計変更することは、同図に示された構造からみて記録紙の移動を困難にすることになるので、当業者にとって自明なこととは言えない。

文献2: JP, 6-70090, A (三菱電機株式会社)

2. 3月. 1994 (11. 03. 94), 図1-図5, 図8-図11, 図15参照
(ファミリーなし)

の図8-9に開示されている読み書き一体ヘッドは、印字用素子が発熱基板というセンサー基板とは別の基板に設けられており、しかも、印字用素子は基板の端の側面に突設されているので、請求の範囲1に記載されているように「基板の同一表面上に受光素子を備えた読み取り回路と印字用素子を配置する」ものとは異なる。

文献2の図8-9のものでは基板を一枚化することは当業者にとって自明であるとは言えても、同図のものでは原稿の移動方向と記録紙の移動方向とのなす角度がほぼ直角になるような構造を前提としているので、請求の範囲1に記載されているような基板の同一表面上に読み取り回路と印字用素子を配置する構成を示唆するものとは言えない。

文献3: JP, 10-51587, A (ローム株式会社)

20. 2月. 1998 (20. 02. 98), 図2参照, (ファミリーなし)

文献4: JP, 9-284470, A (ローム株式会社)

3. 10月. 1997 (31. 10. 97), 図2参照, (ファミリーなし)

の各文献に開示されているものはいずれも同一基板上に、受光素子、読み取り回路、印字用素子、書き込み駆動回路を設けたものであるが、受光素子と印字用素子は互いに基板の反対側に配置されているから、請求の範囲1に記載されたように「基板の同一表面上」に配置されたものとは異なるし、その配置の結果として、記録紙を移動させる構造部分の構成も請求の範囲1に記載された発明によって実現される構成とは異なると考えられるので、文献3-4によっても請求の範囲1に記載された発明が示唆されているとは言えない。

請求の範囲2-14に記載された各発明についても、その主要部は請求の範囲1に記載された発明と同じであるから、上記と同様のことが言える。

特許協力条約

E P



P C T

国際調査報告

S-1
 (法8条、法施行規則第40、41条)
 (P C T 18条、P C T 規則43、44)

出願人又は代理人 の書類記号 PCT-R099-11	今後の手続きについては、国際調査報告の送付通知様式(P C T / I S A / 2 2 0) 及び下記 5 を参照すること。		
国際出願番号 P C T / J P 9 9 / 0 4 1 4 3	国際出願日 (日.月.年) 3 0. 0 7. 9 9	優先日 (日.月.年) 3 1. 0 7. 9 8	
出願人 (氏名又は名称) ローム株式会社			

国際調査機関が作成したこの国際調査報告を法施行規則第41条 (P C T 18条) の規定に従い出願人に送付する。
この写しは国際事務局にも送付される。

この国際調査報告は、全部で 3 ページである。

この調査報告に引用された先行技術文献の写しも添付されている。

1. 国際調査報告の基礎

a. 言語は、下記に示す場合を除くほか、この国際出願がされたものに基づき国際調査を行った。
 この国際調査機関に提出された国際出願の翻訳文に基づき国際調査を行った。

b. この国際出願は、ヌクレオチド又はアミノ酸配列を含んでおり、次の配列表に基づき国際調査を行った。
 この国際出願に含まれる書面による配列表
 この国際出願と共に提出されたフレキシブルディスクによる配列表
 出願後に、この国際調査機関に提出された書面による配列表
 出願後に、この国際調査機関に提出されたフレキシブルディスクによる配列表
 出願後に提出した書面による配列表が出願時における国際出願の開示の範囲を超える事項を含まない旨の陳述書の提出があった。
 書面による配列表に記載した配列とフレキシブルディスクによる配列表に記録した配列が同一である旨の陳述書の提出があった。

2. 請求の範囲の一部の調査ができない (第 I 欄参照)。

3. 発明の単一性が欠如している (第 II 欄参照)。

4. 発明の名称は 出願人が提出したものと承認する。
 次に示すように国際調査機関が作成した。

5. 要約は 出願人が提出したものと承認する。
 第 III 欄に示されているように、法施行規則第47条 (P C T 規則38.2(b)) の規定により国際調査機関が作成した。出願人は、この国際調査報告の発送の日から 1 カ月以内にこの国際調査機関に意見を提出することができる。

6. 要約書とともに公表される図は、
 第 2 図とする。 出願人が示したとおりである. なし
 出願人は図を示さなかった。
 本図は発明の特徴を一層よく表している。

A. 発明の属する分野の分類 (国際特許分類 (IPC))

Int. Cl⁶ H04N 1/024

B. 調査を行った分野

調査を行った最小限資料 (国際特許分類 (IPC))

Int. Cl⁶ H04N 1/024

最小限資料以外の資料で調査を行った分野に含まれるもの

日本国実用新案公報 1926-1996

日本国公開実用新案公報 1971-1999

日本国実用新案登録公報 1996-1999

日本国登録実用新案公報 1994-1999

国際調査で使用した電子データベース (データベースの名称、調査に使用した用語)

C. 関連すると認められる文献

引用文献の カテゴリー*	引用文献名 及び一部の箇所が関連するときは、その関連する箇所の表示	関連する 請求の範囲の番号
Y A	J P, 6-86004, A (プラザー工業株式会社) 25. 3月. 1994 (25. 03. 94), 第1図-第5図参照, (ファミリーなし)	1, 5-8, 11-14 2-4, 9-10
Y A	J P, 6-70090, A (三菱電機株式会社) 11. 3月. 1994 (11. 03. 94), 第1図-第5図, 第8図-第11図, 第15図参照, (ファミリーなし)	1, 5-8, 11-14 2-4, 9-10
Y A	J P, 10-51587, A (ローム株式会社) 20. 2月. 1998 (20. 02. 98), 第2図参照, (ファミリーなし)	1, 5-8, 11-14 2-4, 9-10

 C欄の続きにも文献が列挙されている。 パテントファミリーに関する別紙を参照。

* 引用文献のカテゴリー

「A」特に関連のある文献ではなく、一般的技術水準を示すもの

「E」国際出願日前の出願または特許であるが、国際出願日以後に公表されたもの

「L」優先権主張に疑義を提起する文献又は他の文献の発行日若しくは他の特別な理由を確立するために引用する文献 (理由を付す)

「O」口頭による開示、使用、展示等に言及する文献

「P」国際出願日前で、かつ優先権の主張の基礎となる出願

の日の後に公表された文献

「T」国際出願日又は優先日後に公表された文献であって出願と矛盾するものではなく、発明の原理又は理論の理解のために引用するもの

「X」特に関連のある文献であって、当該文献のみで発明の新規性又は進歩性がないと考えられるもの

「Y」特に関連のある文献であって、当該文献と他の1以上の文献との、当業者にとって自明である組合せによって進歩性がないと考えられるもの

「&」同一パテントファミリー文献

国際調査を完了した日

25. 10. 99

国際調査報告の発送日

09.11.99

国際調査機関の名称及びあて先

日本国特許庁 (ISA/JP)

郵便番号 100-8915

東京都千代田区霞が関三丁目4番3号

特許庁審査官 (権限のある職員)

大野 雅宏



5V 8113

電話番号 03-3581-1101 内線 3571

C (続き) 関連すると認められる文献		関連する 請求の範囲の番号
引用文献の カテゴリー*	引用文献名 及び一部の箇所が関連するときは、その関連する箇所の表示	
Y A	J P, 9-284470, A (ローム株式会社) 31. 10月. 1997 (31. 10. 97), 第2図参照, (ファミリーなし)	12-13 1-11, 14
A	J P, 6-113069, A (三田工業株式会社) 22. 4月. 1994 (22. 04. 94), 第1図参照, (ファミリーなし)	1-14
A	J P, 4-282952, A (株式会社日立製作所) 8. 10月. 1992 (08. 10. 92), 第6図参照, (ファミリーなし)	1-14

ST
Translation

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference PCT-RO99-11	FOR FURTHER ACTION	SeeNotificationofTransmittalofInternational Preliminary Examination Report (Form PCT/IPEA/416)
International application No. PCT/JP99/04143	International filing date (day/month/year) 30 July 1999 (30.07.99)	Priority date (day/month/year) 31 July 1998 (31.07.98)
International Patent Classification (IPC) or national classification and IPC H04N 1/024		
Applicant ROHM CO., LTD.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 3 sheets, including this cover sheet.

This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of _____ sheets.

3. This report contains indications relating to the following items:

- I Basis of the report
- II Priority
- III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV Lack of unity of invention
- V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI Certain documents cited
- VII Certain defects in the international application
- VIII Certain observations on the international application

Date of submission of the demand 02 December 1999 (02.12.99)	Date of completion of this report 08 May 2000 (08.05.2000)
Name and mailing address of the IPEA/JP	Authorized officer
Facsimile No.	Telephone No.

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/JP99/04143

I. Basis of the report

1. With regard to the elements of the international application:*

 the international application as originally filed the description:

pages _____, as originally filed

pages _____, filed with the demand

pages _____, filed with the letter of _____

 the claims:

pages _____, as originally filed

pages _____, as amended (together with any statement under Article 19)

pages _____, filed with the demand

pages _____, filed with the letter of _____

 the drawings:

pages _____, as originally filed

pages _____, filed with the demand

pages _____, filed with the letter of _____

 the sequence listing part of the description:

pages _____, as originally filed

pages _____, filed with the demand

pages _____, filed with the letter of _____

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item. These elements were available or furnished to this Authority in the following language _____ which is:

 the language of a translation furnished for the purposes of international search (under Rule 23.1(b)). the language of publication of the international application (under Rule 48.3(b)). the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

 contained in the international application in written form. filed together with the international application in computer readable form. furnished subsequently to this Authority in written form. furnished subsequently to this Authority in computer readable form. The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished. The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.4. The amendments have resulted in the cancellation of: the description, pages _____ the claims, Nos. _____ the drawings, sheets/fig _____5. This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).**

* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

** Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/JP99/04143

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Claims	1-14	YES
	Claims		NO
Inventive step (IS)	Claims	1-14	YES
	Claims		NO
Industrial applicability (IA)	Claims	1-14	YES
	Claims		NO

2. Citations and explanations

Concerning claims 1-14

None of the integrated read/write heads disclosed in Figs. 1, 4 and 5 of document 1 [JP, 6-86004, A (Brother Industries, Ltd.), 25 March, 1994 (25.03.94); see Figs. 1-5; (Family: none)] are equipped with a 'case attached to the substrate in such a way as to surround the photodetector elements' like that disclosed in claim 1 of the present application. Moreover, it is considered that modifying the design of the integrated read/write heads disclosed in Figs. 1, 4 and 5 of document 1 in order to include such a case would not be obvious to a person skilled in the art, since judging by the configurations shown in these figures movement of the recording paper would become difficult.

With the integrated read/write head disclosed in Figs. 8 and 9 of document 2 [JP, 6-70090, A (Mitsubishi Electric Corporation), 11 March, 1994 (11.03.94); see Figs. 1-5, 8-11, 15; (Family: none)], the printing elements are provided on the heat generating substrate, which is different to the sensor substrate, and moreover the printing elements are provided in such a way that they protrude from the side of the tip of the substrate. The integrated read/write head disclosed in Figs. 8 and 9 of document 2 is thus different to that disclosed in claim 1 of the present application for which 'the read circuit – which is equipped with photodetector elements – and the printing elements are positioned on the same surface of the substrate'.

With the integrated read/write head disclosed in Figs. 8 and 9 of document 2, it is considered that changing things to use only a single substrate would be obvious to a person skilled in the art. However, since a presupposition with the integrated read/write head disclosed in Figs. 8 and 9 of document 2 is that it has a structure whereby the angle between the direction of motion of the original and the direction of motion of the recording paper is more-or-less a right angle, it is considered that document 2 does not suggest a configuration like that disclosed in claim 1 of the present application whereby the read circuit and the printing elements are positioned on the same surface of the substrate.

With each of the inventions disclosed in document 3 [JP, 10-51587, A (Rohm Co., Ltd.), 20 February, 1998 (20.02.98); see Fig. 2; (Family: none)] and document 4 [JP, 9-284470, A (Rohm Co., Ltd.), 31 October, 1997 (31.10.97); see Fig. 2; (Family: none)], the photodetector elements, the read circuit, the printing elements and the write drive circuit are provided on the same substrate. However, the photodetector elements and the printing elements are positioned on opposite sides of the substrate to one another, which is different to in claim 1 of the present application where the photodetector elements and the printing elements are positioned 'on the same surface of the substrate'. Moreover, as a result of the positioning of the photodetector elements and the printing elements, it is considered that with the inventions disclosed in documents 3 and 4 the constituent features of the structural part that moves the recording paper must be different to the constituent features realized through the invention disclosed in claim 1 of the present application, and thus that the invention disclosed in claim 1 of the present application is not suggested by documents 3 and 4.

The above also applies to the inventions disclosed in claims 2-14 of the present application, since their principal part is the same as that of the invention disclosed in claim 1.

ST
Translation

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference PCT-RO99-11	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/JP99/04143	International filing date (day/month/year) 30 July 1999 (30.07.99)	Priority date (day/month/year) 31 July 1998 (31.07.98)
International Patent Classification (IPC) or national classification and IPC H04N 1/024		
Applicant ROHM CO., LTD.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of <u>3</u> sheets, including this cover sheet.
<input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT). These annexes consist of a total of _____ sheets.
3. This report contains indications relating to the following items:
<input checked="" type="checkbox"/> I Basis of the report <input type="checkbox"/> II Priority <input type="checkbox"/> III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability <input type="checkbox"/> IV Lack of unity of invention <input checked="" type="checkbox"/> V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement <input type="checkbox"/> VI Certain documents cited <input type="checkbox"/> VII Certain defects in the international application <input type="checkbox"/> VIII Certain observations on the international application

Date of submission of the demand 02 December 1999 (02.12.99)	Date of completion of this report 08 May 2000 (08.05.2000)
Name and mailing address of the IPEA/JP	Authorized officer
Facsimile No.	Telephone No.

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/JP99/04143

I. Basis of the report

1. With regard to the elements of the international application:*

 the international application as originally filed the description:pages _____, as originally filed
pages _____, filed with the demand
pages _____, filed with the letter of _____ the claims:pages _____, as originally filed
pages _____, as amended (together with any statement under Article 19)
pages _____, filed with the demand
pages _____, filed with the letter of _____ the drawings:pages _____, as originally filed
pages _____, filed with the demand
pages _____, filed with the letter of _____ the sequence listing part of the description:pages _____, as originally filed
pages _____, filed with the demand
pages _____, filed with the letter of _____

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item. These elements were available or furnished to this Authority in the following language _____ which is:

 the language of a translation furnished for the purposes of international search (under Rule 23.1(b)). the language of publication of the international application (under Rule 48.3(b)). the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

 contained in the international application in written form. filed together with the international application in computer readable form. furnished subsequently to this Authority in written form. furnished subsequently to this Authority in computer readable form. The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished. The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.4. The amendments have resulted in the cancellation of: the description, pages _____ the claims, Nos. _____ the drawings, sheets/fig _____5. This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).**

* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

** Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/JP99/04143

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Claims	1-14	YES
	Claims		NO
Inventive step (IS)	Claims	1-14	YES
	Claims		NO
Industrial applicability (IA)	Claims	1-14	YES
	Claims		NO

2. Citations and explanations

Concerning claims 1-14

None of the integrated read/write heads disclosed in Figs. 1, 4 and 5 of document 1 [JP, 6-86004, A (Brother Industries, Ltd.), 25 March, 1994 (25.03.94); see Figs. 1-5; (Family: none)] are equipped with a 'case attached to the substrate in such a way as to surround the photodetector elements' like that disclosed in claim 1 of the present application. Moreover, it is considered that modifying the design of the integrated read/write heads disclosed in Figs. 1, 4 and 5 of document 1 in order to include such a case would not be obvious to a person skilled in the art, since judging by the configurations shown in these figures movement of the recording paper would become difficult.

With the integrated read/write head disclosed in Figs. 8 and 9 of document 2 [JP, 6-70090, A (Mitsubishi Electric Corporation), 11 March, 1994 (11.03.94); see Figs. 1-5, 8-11, 15; (Family: none)], the printing elements are provided on the heat generating substrate, which is different to the sensor substrate, and moreover the printing elements are provided in such a way that they protrude from the side of the tip of the substrate. The integrated read/write head disclosed in Figs. 8 and 9 of document 2 is thus different to that disclosed in claim 1 of the present application for which 'the read circuit – which is equipped with photodetector elements – and the printing elements are positioned on the same surface of the substrate'.

With the integrated read/write head disclosed in Figs. 8 and 9 of document 2, it is considered that changing things to use only a single substrate would be obvious to a person skilled in the art. However, since a presupposition with the integrated read/write head disclosed in Figs. 8 and 9 of document 2 is that it has a structure whereby the angle between the direction of motion of the original and the direction of motion of the recording paper is more-or-less a right angle, it is considered that document 2 does not suggest a configuration like that disclosed in claim 1 of the present application whereby the read circuit and the printing elements are positioned on the same surface of the substrate.

With each of the inventions disclosed in document 3 [JP, 10-51587, A (Rohm Co., Ltd.), 20 February, 1998 (20.02.98); see Fig. 2; (Family: none)] and document 4 [JP, 9-284470, A (Rohm Co., Ltd.), 31 October, 1997 (31.10.97); see Fig. 2; (Family: none)], the photodetector elements, the read circuit, the printing elements and the write drive circuit are provided on the same substrate. However, the photodetector elements and the printing elements are positioned on opposite sides of the substrate to one another, which is different to in claim 1 of the present application where the photodetector elements and the printing elements are positioned 'on the same surface of the substrate'. Moreover, as a result of the positioning of the photodetector elements and the printing elements, it is considered that with the inventions disclosed in documents 3 and 4 the constituent features of the structural part that moves the recording paper must be different to the constituent features realized through the invention disclosed in claim 1 of the present application, and thus that the invention disclosed in claim 1 of the present application is not suggested by documents 3 and 4.

The above also applies to the inventions disclosed in claims 2-14 of the present application, since their principal part is the same as that of the invention disclosed in claim 1.

0	受理官庁記入欄 国際出願番号	
0-2	国際出願日	
0-3	(受付印)	
0-4	この特許協力条約に基づく 国際出願願書(様式 - PCT/R0/101)は、 右記によって作成された。	PCT-EASY Version 2.84 (updated 01.07.1999)
0-5	申立て 出願人は、この国際出願が特許 協力条約に従って処理されるこ とを請求する。	
0-6	出願人によって指定された 受理官庁	日本国特許庁 (R0/JP)
0-7	出願人又は代理人の書類記 号	PCT-R099-11
I	発明の名称	画像読み書き一体ヘッドおよびこれを備えた画像 処理装置
II	出願人 この欄に記載した者は 右の指定国についての出願人で ある。	出願人である (applicant only) 米国を除くすべての指定国 (all designated States except US)
II-4ja	名称	ローム株式会社
II-4en	Name	Rohm Co., Ltd.
II-5ja	あて名:	615-8585 日本国 京都府 京都市 右京区西院溝崎町21番地
II-5en	Address:	21, Saiin Mizosaki-cho, Ukyo-ku, Kyoto-shi, Kyoto 615-8585 Japan
II-6	国籍 (国名)	日本国 JP
II-7	住所 (国名)	日本国 JP

⇒ INTEGRATED IMAGE READING/WRITING HEAD AND
IMAGE PROCESSING APPARATUS INCORPORATING THE SAME

III-1 III-1-1	その他の出願人又は発明者 この欄に記載した者は	出願人及び発明者である (applicant and inventor) 米国のみ (US only)
III-1-2 III-1-4ja III-1-4en III-1-5ja	右の指定国についての出願人で ある。 氏名(姓名) Name (LAST, First) あて名:	藤本 久義 FUJIMOTO, Hisayoshi 615-8585 日本国 京都府 京都市 右京区西院溝崎町21番地 ローム株式会社内 c/o Rohm Co., Ltd. 21, Saiin Mizosaki-cho, Ukyo-ku, Kyoto-shi, Kyoto 615-8585 Japan
III-1-5en	Address:	
III-1-6 III-1-7	国籍(国名) 住所(国名)	日本国 JP 日本国 JP
III-2 III-2-1	その他の出願人又は発明者 この欄に記載した者は	出願人及び発明者である (applicant and inventor) 米国のみ (US only)
III-2-2 III-2-4ja III-2-4en III-2-5ja	右の指定国についての出願人で ある。 氏名(姓名) Name (LAST, First) あて名:	大西 弘朗 ONISHI, Hiroaki 615-8585 日本国 京都府 京都市 右京区西院溝崎町21番地 ローム株式会社内 c/o Rohm Co., Ltd. 21, Saiin Mizosaki-cho, Ukyo-ku, Kyoto-shi, Kyoto 615-8585 Japan
III-2-5en	Address:	
III-2-6 III-2-7	国籍(国名) 住所(国名)	日本国 JP 日本国 JP
III-3 III-3-1	その他の出願人又は発明者 この欄に記載した者は	出願人及び発明者である (applicant and inventor) 米国のみ (US only)
III-3-2 III-3-4ja III-3-4en III-3-5ja	右の指定国についての出願人で ある。 氏名(姓名) Name (LAST, First) あて名:	高倉 敏彦 TAKAKURA, Toshihiko 615-8585 日本国 京都府 京都市 右京区西院溝崎町21番地 ローム株式会社内 c/o Rohm Co., Ltd. 21, Saiin Mizosaki-cho, Ukyo-ku, Kyoto-shi, Kyoto 615-8585 Japan
III-3-5en	Address:	
III-3-6 III-3-7	国籍(国名) 住所(国名)	日本国 JP 日本国 JP

III-4 III-4-1	その他の出願人又は発明者 この欄に記載した者は	出願人及び発明者である (applicant and inventor) 米国のみ (US only)
III-4-2	右の指定国についての出願人で ある。 氏名(姓名)	今村 典広 IMAMURA, Norihiro
III-4-4ja III-4-4en III-4-5ja	Name (LAST, First) あて名:	615-8585 日本国 京都府 京都市 右京区西院溝崎町21番地 ローム株式会社内 c/o Rohm Co., Ltd. 21, Saiin Mizosaki-cho, Ukyo-ku, Kyoto-shi, Kyoto 615-8585 Japan
III-4-5en	Address:	日本国 JP
III-4-6 III-4-7	国籍(国名) 住所(国名)	日本国 JP
IV-1	代理人又は共通の代表者、 通知のあて名 下記の者は国際機関において右 記のごとく出願人のために行動 する。 氏名(姓名)	代理人 (agent) 吉田 稔 YOSHIDA, Minoru
IV-1-1ja IV-1-1en IV-1-2ja	Name (LAST, First) あて名:	543-0014 日本国 大阪府 大阪市 天王寺区玉造元町2-32-1301 2-32-1301, Tamatsukuri-motomachi, Tennoji-ku, Osaka-shi, Osaka 543-0014 Japan
IV-1-2en	Address:	06-6764-6664 06-6764-7446
IV-1-3 IV-1-4	電話番号 ファクシミリ番号	
IV-2	その他の代理人	筆頭代理人と同じあて名を有する代理人 (additional agent(s) with same address as first named agent)
IV-2-1ja IV-2-1en	氏名 Name(s)	田中 達也; 福元 義和 TANAKA, Tatsuya; FUKUMOTO, Yoshikazu
V	国の指定	
V-1	広域特許 (他の種類の保護又は取扱いを 求める場合には括弧内に記載す る。)	EP: AT BE CH&LI CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE 及びヨーロッパ特許条約と特許協力条約の締約国 である他の国
V-2	国内特許 (他の種類の保護又は取扱いを 求める場合には括弧内に記載す る。)	CA CN JP KR US

V-5	指定の確認の宣言 出願人は、上記の指定に加えて、規則4.9(b)の規定に基づき、特許協力条約のもとで認められる他の全ての国の指定を行う。ただし、V-6欄に示した国の指定を除く。出願人は、これらの追加される指定が確認を条件としていること、並びに優先日から15月が経過する前にその確認がなされない指定は、この期間の経過時に、出願人によって取り下げられたものとみなされることを宣言する。		
V-6	指定の確認から除かれる国	なし (NONE)	
VI-1	先の国内出願に基づく優先権主張 VI-1-1 先の出願日 VI-1-2 先の出願番号 VI-1-3 国名	July 31, 1998 Patent Application 1998年07月31日 (31.07.1998) No.10-218092 平成10年特許願第218092号 → 日本国 JP Japan	
VI-2	優先権証明書送付の請求 上記の先の出願のうち、右記の番号のものについては、出願書類の認証謄本を作成し国際事務局へ送付することを、受理官庁に対して請求している。	VI-1	
VII-1	特定された国際調査機関 (ISA/A)	日本国特許庁 (ISA/JP)	
VIII	照合欄	用紙の枚数	添付された電子データ
VIII-1	願書	5	-
VIII-2	明細書	22	-
VIII-3	請求の範囲	4	-
VIII-4	要約	1	ro99-11ab.txt
VIII-5	図面	17	-
VIII-7	合計	49	
VIII-8	添付書類	添付	添付された電子データ
VIII-9	手数料計算用紙	✓	-
VIII-10	別個の記名押印された委任状	✓	-
VIII-16	PCT-EASYディスク	-	フレキシブルディスク
VIII-17	その他	優先権書類送付請求書	-
VIII-17	その他	納付する手数料に相当する特許印紙を貼付した書面	-
VIII-17	その他	国際事務局の口座への振込を証明する書面	-
VIII-18	要約書とともに提示する図の番号	2	
VIII-19	国際出願の使用言語名:	日本語 (Japanese)	
IX-1	提出者の記名押印		
IX-1-1	氏名(姓名)	吉田 稔	

IX-2	提出者の記名押印	
IX-2-1	氏名(姓名)	田中 達也
IX-3	提出者の記名押印	
IX-3-1	氏名(姓名)	福元 義和

受理官庁記入欄

10-1	国際出願として提出された書類の実際の受理の日	
10-2	図面 :	
10-2-1	受理された	
10-2-2	不足図面がある	
10-3	国際出願として提出された書類を補完する書類又は図面であってその後期間内に提出されたものの実際の受理の日(訂正日)	
10-4	特許協力条約第11条(2)に基づく必要な補完の期間内の受理の日	
10-5	出願人により特定された国際調査機関	ISA/JP
10-6	調査手数料未払いにつき、国際調査機関に調査用写しを送付していない	

国際事務局記入欄

11-1	記録原本の受理の日	
------	-----------	--